



PATENT

Attorney Docket No.: SAM-0203 DIV

Customer No.: 29344

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Dong-Jun Kim, *et al.* Examiner: Booth, Richard A.
Serial No.: 10/616,391 Group Art Unit: 2812
Filing Date: July 9, 2003
Title: SEMICONDUCTOR DEVICE HAVING A FLASH MEMORY CELL AND
FABRICATION METHOD THEREOF

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Post Office as First Class Mail on the date indicated below in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

3-30-04

Date

Vanessa Marakas

Vanessa Marakas

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

Sir:

Enclosed herewith for filing in the above-identified patent application please find the following listed items:

1. Information Disclosure Statement;
2. Forms PTO-1449;
3. Check in the amount of \$180.00 to cover Information Disclosure Statement Fee; and
3. Return Postcard.

In connection with the foregoing matter, please charge any additional fees which may be due, or credit any overpayment, to Deposit Account Number 50-1798. A duplicate copy of this letter is provided for this purpose.

Respectfully submitted,

Date: March 30, 2004
Mills & Onello, LLP
Eleven Beacon Street, Suite 605
Boston, Massachusetts 02108
Telephone: (617) 994-4900
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Anthony P. Onello, Jr.
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Registration Number 38,572
Attorney for Applicants



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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or
(First/Second submission after Final Rejection)
- ☐ under 37 CFR 1.97(b), or
(Within three months of filing national application other than a CPA under §1.53(d); or within three months of date of entry of the national stage in international application; or before mailing date of first Office Action on the merits; or before mailing date of first Office Action after filing RCE under §1.114, whichever occurs last)
- ☒ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☒ the \$180.00 fee under 37 CFR 1.17(p), or
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, or other action which closes prosecution, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ the \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Applicant(s): Dong-Jun Kim, *et al.*
Serial No.: 10/616,391

Statement Under 37 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Enclosed herewith is form PTO-1449:

- ☒ Copies of cited references are on record in parent application 10/039,126.
- ☐ Copies of cited references are enclosed except those entered in prior application, U.S. Serial No. _____, and references that are not required to be submitted under 37 CFR 1.98.
- ☐ The listed references were cited in a counterpart foreign application.

Concise Explanation Requirement (non-English references):

- ☐ The "concise explanation" requirement under 36 CFR 1.98(a)(3)(i) for reference XX is satisfied by:
 - ☐ the explanation provided on the attached sheet.
 - ☐ the explanation provided in the Specification.
 - ☐ abstract.

It is requested the information disclosed herein be made of record in this application.

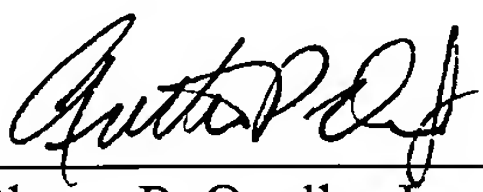
Applicant(s): Dong-Jun Kim, *et al.*
Serial No.: 10/616,391

Method of payment:

- ☒ Enclosed is a check in the amount of \$180.00.
- ☐ Please charge Deposit Account of 50-1798 in the amount of _____.
- ☐ Two duplicate copies of this Statement are enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account No. 50-1798.

Respectfully submitted,

Date: March 30, 2004
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Anthony P. Onello, Jr.
Registration Number 38,572
Attorney for Applicants



Subst. Form PTO-1449

INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number (Optional)

SAM-0203DIV

Application Number

10/616,391

Applicant

Dong-Jun Kim, et al.

Filing Date

07/09/03

Group Art Unit

2812

U. S. Patent Documents

| EXAMINER INITIALS | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|----------------------|----|--------------------|----------|-------------------|-------|----------|-------------------------------|
| | AA | 4,558,344 | 12/10/85 | Perlegos | 357 | 59 | 01/29/82 |
| | AB | 4,698,787 | 10/06/87 | Mukherjee, et al. | 365 | 185 | 11/21/84 |
| | AC | 4,783,766 | 11/08/88 | Samachisa, et al. | 365 | 185 | 05/30/86 |
| | AD | 4,794,565 | 12/27/88 | Wu, et al. | 365 | 185 | 09/15/86 |
| | AE | 5,280,446 | 01/18/94 | Ma, et al. | 365 | 185 | 06/08/92 |
| | AF | 5,455,792 | 10/03/95 | Yi | 365 | 185.12 | 09/09/94 |
| | AG | 5,930,631 | 07/27/99 | Wang, et al. | 438 | 286 | 06/12/97 |
| | AH | 6,043,530 | 03/28/00 | Chang | 257 | 320 | 04/15/98 |
| | AI | 6,101,131 | 08/08/00 | Chang | 365 | 185.33 | 04/22/99 |
| | AJ | 6,125,060 | 09/26/00 | Chang | 365 | 185.29 | 08/26/99 |
| | AK | 6,232,185 | 05/15/01 | Wang | 438 | 266 | 05/15/00 |

FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation | |
|--|----|--------------------|------|---------|-------|----------|-------------|----|
| | | | | | | | YES | NO |
| | AL | | | | | | | |
| | AM | | | | | | | |
| | AN | | | | | | | |
| | AO | | | | | | | |
| | AP | | | | | | | |
| | AQ | | | | | | | |

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | |
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| | AR | |
| | AS | |
| | AT | |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy with next communication to applicant.

| | | | | | | | | |
|---|--|--|--|--|---|--|--|--|
| Subst. Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i> | | | | | Docket Number (Optional) SAM-0203DIV | | Application Number 10/616391 | |
| | | | | | Applicant Dong-Jun Kim, et al. | | | |
| | | | | | Filing Date 07/09/03 | | Group Art Unit 2812 | |

| U. S. Patent Documents | | | | | | | |
|------------------------|----|--------------------|----------|-------------------|-------|----------|-------------------------------|
| EXAMINER INITIALS | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| | BA | 5,455,792 | 10/03/95 | Yi | 365 | 185.12 | 09/09/94 |
| | BB | 6,177,315 | 01/23/01 | Bergemont, et al. | 438 | 258 | 05/28/99 |
| | BC | 6,433,382 | 08/13/02 | Orlowski, et al. | 257 | 315 | 04/06/95 |
| | BD | 6,459,121 | 10/01/02 | Sakamoto, et al. | 257 | 315 | 06/21/00 |
| | BE | | | | | | |
| | BF | | | | | | |
| | BG | | | | | | |
| | BH | | | | | | |
| | BI | | | | | | |
| | BJ | | | | | | |
| | BK | | | | | | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|----|--------------------|------|---------|-------|----------|-------------|----|
| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation | |
| | | | | | | | YES | NO |
| | BL | | | | | | | |
| | BM | | | | | | | |
| | BN | | | | | | | |
| | BO | | | | | | | |
| | BP | | | | | | | |
| | BQ | | | | | | | |

| OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) | | |
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| | BR | |
| | BS | |
| | BT | |

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| EXAMINER | DATE CONSIDERED |
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